

RECORDS RETENTION SCHEDULE

Genent 27912

Submit three copies to: Department of General Services, California Records and Information Management, 707 Third St. 2nd Fl., W. Sacramento, CA 95605.

A CalRIM Consultant may be reached by phone at (916) 375-4404, by fax at (916) 375-4408 or by email at CalRIM@dgs.ca.gov

(1) DEPARTMENT, BOARD OR COMMISSION Public Utilities Commission		(2) AGENCY BILLING CODE 59000		(3) PAGE 1 OF 5 PAGES
(4) DIVISION/ BRANCH/ SECTION ALJ Division – Central Files		(5) ADDRESS 505 Van Ness Avenue, San Francisco CA 94102		
CHECK THE APPROPRIATE BOX				
(6) <input type="checkbox"/> New schedule of records that have never been scheduled. [Complete boxes (9) – (12)]				
(7) <input type="checkbox"/> Revising a previous schedule. [Complete boxes (13) – (16)] (A new approval number will be assigned.)				
(8) <input checked="" type="checkbox"/> Amending some pages of a previous schedule. [Complete boxes (13) – (16)] (The original approval number will remain in effect.)				
NEW SCHEDULE INFORMATION (If applicable)	(9) SCHEDULE NUMBER ALJ-3, Amendment 1	(10) SCHEDULE DATE 3/26/08	(11) NUMBER OF PAGES 5 + Attachment (3 pages)	(12) CUBIC FEET (Total Schedule) 2,791
PREVIOUS SCHEDULE INFORMATION (If applicable)	(13) SCHEDULE NUMBER ALJ-3	(14) APPROVAL NUMBER 08-016	(15) APPROVAL DATE (S) 1/14/08	(16) PAGE NUMBER(S) REVISED – Amended Pages 1-3
(17) MISSION/FUNCTIONAL STATEMENT : Central Files is the repository for files in all formal proceedings filed before the Public Utilities Commission.				
PART I – AGENCY STATEMENTS				
As the program manager (or person authorized to sign for the program manager) directly responsible for the records listed on this records retention schedule, I certify that all records listed are necessary and that each retention period is correct. For revisions, all items on the previous schedule are included or accounted for on the recapitulation. Vital records identified by this schedule are protected. If protection is not currently provided but plans are underway, the details of such plans are shown in Column 45, Remarks.				
(18) SIGNATURE - MANAGER RESPONSIBLE FOR THE RECORDS Elderine Castillo <i>Elderine Castillo</i>		(19) TITLE Supervisor, Central Files	(20) PHONE NUMBER 415.703.2388	(21) DATE SIGNED 3/26/08
In accordance with Government Code 14755, approval of this Records Retention Schedule by the Department of General Services is hereby requested. Retention periods shown have been established in accordance with the criteria set forth by Section 1667 of the State Administrative Manual.				
(22) SIGNATURE - RECORDS MGMT. ANALYST <i>Gary R. Munhall</i>	(23) CLASSIFICATION Business Services Manager II (Supv)	(24) NAME (Printed or Typed) Gary R. Munhall	(25) PHONE NUMBER 415.703.1860	(26) DATE SIGNED 03/27/2008
PART II – DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)				
(27) SIGNATURE – CalRIM CONSULTANT <i>Joan C. Sanchez</i>		(28) APPROVAL NUMBER 08-016	(29) DATE SIGNED 4/03/2008	(30) EXPIRATION DATE 1/14/2013
PART III – ARCHIVAL SELECTION (Per Government Code Section 14755)			FOR ARCHIVES' STAMP	
THE ATTACHED RECORDS RETENTION SCHEDULE:				
(31) <input type="checkbox"/> Contains no material subject to further review by the California State Archives (32) <input checked="" type="checkbox"/> Contains material subject to archival review. Items stamped "NOTIFY ARCHIVES" may not be destroyed without clearance by the California State Archives. (Per Section 1671 of the State Administrative Manual.)				
(33) SIGNATURE – CHIEF OF ARCHIVES OR DESIGNATED REPRESENTATIVE <i>Stephen Bailett</i>		(34) DATE SIGNED 4/8/08		

08-016

SCHEDULE # ALT-3 Amendment 1

ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

1	1,619	NOTIFY ARCHIVES	Formal Application Files Original copies of applications for authorization filed under the Public Utilities Code or under Commission authorization. These files contain original legal documents*, correspondence, and exhibits presented at Commission hearings. And Formal Case Files Original copies of complaints, orders of the Commission, *legal documents, correspondence, and exhibits presented at Commission hearings. <i>*legal documents in Formal Application and Formal Case Files may include documents "under seal" which may be confidential for the period of time specified by the Administrative Law Judge and may be exempt under PRA and IPA for the period specified.</i>	P		3	0	27	30		For those records which have no governing authority for retention cited, the authority of the manager directly responsible for the records applies. Res L-204
2		NOTIFY ARCHIVES	Formal Application Files EFILED applications for authorization under the Public Utilities Code or under Commission authorization. These files contain original legal documents*, correspondence, and exhibits presented at Commission hearings. And Formal Case Files EFILED complaints, orders of the Commission, *legal documents, correspondence, and exhibits presented at Commission hearings. <i>*legal documents in Formal Application and Formal Case Files may include documents "under seal" which may be confidential for the period of time specified by the Administrative Law Judge and may be exempt under PRA and IPA for the period specified.</i>	M		3	0	27	30		Res L-204 Electronic filing (EFILE) began in April 2006 and the 14,322 files in the EFILE library occupy 9.78 gigabytes of space. Those files are backed up on a regular basis as set by policies within the Information and Management Services Division of the CPUC. When a document is filed "under seal," it is filed in hard copy and the public version is filed electronically. The paper document is included in the count for Item 1 above.
3	3	NOTIFY ARCHIVES	Procedural Rulemaking Files – PERMANENT RETENTION Rulemaking files amending the Commission's Rules of Practice and Procedure. (see attached list of specific files)	P		3	0	27	30		Pursuant to Government Code section 11347.3(e), these files must be permanently retained. After 30 years transfer to State Archives for permanent retention under the procedure set forth in section 11347.3(f).

08-016

SCHEDULE # ALJ-3 Amendment 1

ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA (47)	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

4	0		Formal Case Files Continuing Rate Cases Original legal documents and exhibits presented at Commission hearings; Commission orders.	P		0	0	0	0		Res L-204 These Formal Case Files are part of Formal Case Files described in Item No. 1 so they will no longer be listed as a separate record. This record will not be listed on future Records Retention Schedules for Central Files.
5	272	NOTIFY ARCHIVES	Transcripts Original copies of transcripts of testimony given at Commission hearings. These transcripts are integral parts of Formal Applications and Formal Case Files.	P		3	0	27	30		Res L-204
6	12	NOTIFY ARCHIVES	Card Index Index cards on all Formal Applications and Cases filed since 1911. This is an integral part of the Formal Applications and Case Files.	P		Current			Current		Retain as "Current" until all records listed have been destroyed, retired permanently, transferred to the State Archives, or when no longer needed, whichever is later.
7	15		Exhibit List List of exhibits presented at Commission Hearings on Applications and Case Proceedings. This list is an integral part of the formal Application and Case Files.	P		Current	0	0	Current		Retain as "Current" until all records listed have been either destroyed, retired permanently, transferred to the State Archives, or when no longer needed, whichever is later.
8	506		File Copy Retain Files Copies of Applications, Complaints, Order Instituting Investigation (OII), Order Instituting Rulemaking (OIR) files containing the same documents as the Formal file.	P		Active +1	0	0	Active +1		Extra copies for copying and viewing convenience. Retain for 1 year after proceeding is closed then destroy. (Retention period changed per management decision to more accurately reflect the time period files are useful.)
9	3		Counter File Requests Written requests for files presented at the counter daily.	P		1	0	0	1		
10	2		Reproduction Request Record of Formal Filings Copy work requests via internet for official documents in Formal files from members of the public.	P		1	0	0	1		
11	1	NOTIFY ARCHIVES	Special Studies File Studies completed by the Utilities Division. These reports, studies and materials are needed for reference.	D ¹		Current	0	0	Current		Retain as "Current" until all records listed have been destroyed, retired permanently, transferred to the State Archives, or when no longer needed, whichever is later.
12	25		Daily Calendar Listing of new filings; Commission Meetings; Commission decisions; and the date, time and location of all meetings; etc.	P		1	Current	0	1 + Current		Media to be retained until microfilmed. (Transferred to Information and Management Services Division (IMSD) for microfilming and permanent storage for the Executive Director.)